F

PTO/SB/05 (03-010)
Approved for use through 10/31/2002. OMB 0651-003

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. 10416-15

First Inventor TAKAHASHI, Makoto

Semiconductor Laser, Method of Producing the Same and Evanescent Optical Head Using Same

EL703755923US Express Mail Label No. (Only for new nonprovisional applications under 37 CFR 1.53(b)) Assistant Commissioner for Patents APPLICATION ELEMENTS ADDRESS TO: **Box Patent Application** Washington, DC 20231 See MPEP chapter 600 concerning utility patent application contents. Fee Transmittal Form (e.g., PTO/SB/17) CD-ROM or CD-R in duplicate, large table or (Submit an original and a duplicate for fee processing) Computer Program (Appendix) Applicant claims small entity status. 8. Nucleotide and/or Amino Acid Sequence Submission See 37 CFR 1.27. (if applicable, all necessary) pecification [Total Pages arrangement set forth below) Specification X Computer Readable Form (CRF) Descriptive title of the invention b. Specification Sequence Listing on: Cross Reference to Related Applications i. CD-ROM or CD-R (2 copies); or - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, ii. paper or a computer program listing appendix Statements verifying identity of above copies - Background of the Invention Brief Summary of the InventionBrief Description of the Drawings (if filed) ACCOMPANYING APPLICATION PARTS Assignment Papers (cover sheet & document(s)) - Detailed Description Claim(s) 37 CFR 3.73(b) Statement Power of - Abstract of the Disclosure Attorney (when there is an assignee) English Translation Document (if applicable) Drawing(s) (35 U.S.C. 113) [Total Sheets [13] 4. X Copies of IDS Information Disclosure [Total Pages-Citations 5. Oath or Declaration Statement (IDS)/PTO-1449 **Preliminary Amendment** Newly executed (original or copy) Copy from a prior application (37 CFR 1.63 (d)) (for continuation/divisional with Box 18 completed) Return Receipt Postcard (MPEP 503) h. (Should be specifically itemized) Certified Copy of Priority Document(s) (if foreign priority is claimed) **DELETION OF INVENTOR(S)** 15. Signed statement attached deleting inventor(s) Nonpublication Request under 35 U.S.C. 122 named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. Application Data Sheet. See 37 CFR 1.76 18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76: Continuation Continuation-in-part (CIP) of prior application No.:_ Prior application information: Group Art Unit: For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b. is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts. X Correspondence address below Customer Number or Bar Code Label PATENT & TRADEMARK OFFICE Name Address Zip Code State City Fax Telephone Country 42,275 Mauri Aven Registration No. (Attorney/Agent) Name (Print/Type) Man'an October 26, 2001 Date

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

PTO/SB/17 (11-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

-£

(\$) 74	10.00
---------	-------

Complete if Known				
Application Number				
Filing Date	October 26, 2001			
First Named Inventor	TAKAHASHI, Makoto			
Examiner Name				
Group Art Unit				
Attorney Docket No.	10416-15			

METHOD OF PAYMENT FEE CALCULATION (continued)					
The Commissioner is hereby authorized to charge	hereby authorized to charge 3 ADDITIONAL FEES				
indicated fees and credit any overpayments to: Deposit	Large Small				
Account 02-4270	Entity Entity Fee Fee Fee Fee Foo Description				
Deposit	Code (\$) Code (\$)	Fee Paid			
Account Name Brown Raysman Millstein	105 130 205 65 Surcharge - late filing fee or oath				
Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17	127 50 227 25 Surcharge - late provisional filing fee or cover sheet				
Applicant claims small entity status. See 37 CFR 1.27	139 130 139 130 Non-English specification				
2. X Payment Enclosed:	147 2,520 147 2,520 For filing a request for ex parte reexamination				
Credit card Money Order Other	112 920* 112 920* Requesting publication of SIR prior to Examiner action	<u> </u>			
FEE CALCULATION	113 1,840* 113 1,840* Requesting publication of SIR after. Examiner action				
1. BASIC FILING FEE	115 110 215 55 Extension for reply within first month				
Large Entity Small Entity	116 390 216 195 Extension for reply within second month				
Fee Fee Fee Fee Description Code (\$) Code (\$) Fee Paid	117 890 217 445 Extension for reply within third month				
404 740 004 055 1999 59	118 1,390 218 695 Extension for reply within fourth month				
101, 710 201 355 Utility filing fee 740.00	128 1,890 228 945 Extension for reply within fifth month				
107 490 207 245 Plant filing fee	119 310 219 155 Notice of Appeal				
108 710 208 355 Reissue filing fee	120 310 220 155 Filing a brief in support of an appeal				
114 150 214 75 Provisional filling fee	121 270 221 135 Request for oral hearing				
011DTOTAL (1) (4) 740.00	138 1,510 138 1,510 Petition to institute a public use proceeding				
SUBTOTAL (1) (\$) 740.00	140 110 240 55 Petition to revive - unavoidable				
2. EXTRA CLAIM FEES Fee from	141 1,240 241 620 Petition to revive - unintentional				
Extra Claims below Fee Paid	142 1,240 242 620 Utility issue fee (or reissue)				
Total Claims	143 440 243 220 Design issue fee				
Claims 3 -	144 600 244 300 Plant issue fee				
Multiple Dependent =	122 130 122 130 Petitions to the Commissioner				
Laura Fattha a	123 50 123 50 Processing fee under 37 CFR 1.17(q)				
Large Entity Small Entity Fee Fee Fee Fee Fee Description	126 180 126 180 Submission of Information Disclosure Stmt				
Code (\$) Code (\$) 103 18 203 9 Claims in excess of 20	581 40 581 40 Recording each patent assignment per property (times number of properties)				
102 80 202 40 Independent claims in excess of 3	146 710 246 355 Filing a submission after final rejection				
104 270 204 135 Multiple dependent claim, if not paid	(37 CFR § 1.129(a))				
109 80 209 40 ** Reissue independent claims over original patent	149 710 249 355 For each additional invention to be examined (37 CFR § 1.129(b))				
110 18 210 9 ** Reissue claims in excess of 20	179 710 279 355 Request for Continued Examination (RCE)				
and over original patent	169 900 169 900 Request for expedited examination				
SUBTOTAL (2) (\$) 0.00 Other fee (specify)					
**or number previously paid, if greater; For Reissues, see above *Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$) 0.00					

SUBMITTED BY Complete (if applicable)					
Name (Print/Type)	Mauri Aven	Registration No. (Attorney/Agent)	42,275	Telephone	(310) 712-8300
Signature	Man Cu			Date	October 26, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.